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ABSTRACT

This paper contains in-depth explanations of the 58 scoring categories used in evaluating performance on an "in-basket" situational test for management trainees. A sample scoring sheet, respondent rating scale, and a list of possible responses are included. (DLG)

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RESEARCH MEMORANDUM

IN-BASKET SCORING MANUAL

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EDUCATION & WELFARE
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INTRODUCTION

An in-basket test is a situational test that simulates the paper work of an executive. The examinee is provided with a set of background materials describing his new "position" in a new organization and is instructed to perform his duties in the assumed job by dealing with the materials that have presumably collected in his "in-basket." Thus, the "items" in the test are letters, memos, telephone messages, etc. that he "receives" in the course of a day at his job. Instead of responding to multiple-choice options or writing essays about how he would handle these situations, he actually responds to them by writing letters, calling meetings, asking for information, or even choosing to ignore them. Thus, throughout the test he behaves as though he were actually on the job. At the end of the exercise, each participant leaves behind all his written responses to the items in his in-basket: all the letters and memoranda he has written, the notes on his calendar and reminders to himself, agenda he has prepared for meetings, and his plans for discussions, interviews, and telephone calls. This material constitutes the record of his performance in response to a standard set of administrative problems. In addition, on a Reasons for Action (RFA) form, he records briefly why he took whatever action he did on each item.

The first in-basket tests were developed for use in the evaluation of training at the Air University in the mid-1950's (Frederiksen, Saunders, & Wand, 1957). Subsequently, in-baskets have been widely used for management training, especially in industry (Lopez, 1966). The American Management Association uses in-baskets in its management training program, and in-baskets are offered for sale by the Bureau of Industrial Training of the University of Michigan. The University Council for Educational Administration undertook the distribution of the simulation materials that were used in a study of elementary school administrators (Hemphill, Griffiths, & Frederiksen, 1962) and has produced new and updated versions of in-baskets

for training of administrators at other educational levels. Hundreds of in-baskets have been produced and used for training of administrators in education, government, and business. But there has been relatively little effort to use in-baskets for training evaluation or for research.

The use of in-baskets or other realistic situational tests in social-psychological research and in investigations of the performance of managers has certain advantages over field investigations. The situational test makes it possible to control conditions in a way that is impossible in a real organization. All subjects can be presented with the same information about the organization, assigned the same superiors, peers, and subordinates, and given exactly the same problems to solve, all in the context of a simulated job that can be made very realistic indeed. It is also possible to vary experimentally certain aspects of the situation and to assign subjects randomly to experimental treatments. Thus it is feasible to carry out experiments in a simulated job that are as rigorous as many laboratory experiments.

The dependent variables for such an experiment can be obtained by scoring the protocols of subjects who responded to the in-basket items. Such scoring can vary from ratings of defined aspects of performance to painstaking tabulations of a wide variety of attributes of behavior.

The scoring methods that have been developed at ETS are based on the notion that each in-basket item provides an opportunity for the subject to exhibit particular varieties of behavior, such as courtesy or procrastination. The score sheets (see pp. 55-59) provide a row for each in-basket item and a column for each kind of behavior. The scorer records a 1 or 0 in each cell to indicate the presence or absence of each variety of behavior. The score for each category is the number of times the behavior did occur.

Many problems are encountered in in-basket scoring, problems that can be solved only by careful definitions of the categories of behavior and the development of scoring rules that deal with contingencies that arise in the scoring of a large number of protocols. A scoring manual was developed to assist in the training and guidance of scorers of the school administration in-baskets (Hemphill et al., 1962). The manual was further revised and extended in scoring protocols for the study of organizational climates in the California "Department of Commerce" (Frederiksen, Jensen, & Beaton, in press). The scoring manual as revised is here presented in the hope that it will be useful to those who may wish to make use of situational tests such as the in-basket as a setting for social-psychological experiments and also in the hope that other investigators will find additional relevant behavior categories and improved methods for scoring the records of performance.

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In-Basket Scoring Manual

IN-BASKET SCORING PROCEDURE

Introduction: Before attempting to score an in-basket, a scorer should become thoroughly familiar with the in-basket items, the background information, the Reasons for Action (RFA) Form, and the Scoring Manual.

Description of Scoring Procedure: The scoring procedure for an in-basket includes the following steps:

1. Scoring the "Courses of Action" according to responses of the subject (S) to each of the items in the in-basket. These describe what the subject did. (The lists of Courses of Action begin on p. 60.)

2. Scoring the stylistic categories, describing the manner in which the S took action, or how he took action. This part is by far the most important and therefore the most extensive.

3. Rating the subject on several aspects of his performance.

General Directions for Scoring the Courses of Action and Categories of Style: The Scoring Manual is divided into two parts: (a) the listings of the Courses of Action item by item, and (b) the definitions and rules for the stylistic categories. Each part of the Manual is prefaced by specific directions applying to that part. Below are some general directions that apply to both parts.

1. In considering each item, the scorer will examine two things: (a) what the S has written in response to the item itself, and (b) what he has written on the RFA form. The focus of scoring is what has been written in response to the item itself. The RFA form is to be used only as a scoring aid to provide interpretative information about the S's response to the item. If the S's RFA form response should contain something that is clearly an extension of his response rather than an explanation of what he has done,

do not consider the extension as the explanation. Similarly, if the response on the RFA form contains something that contradicts the S's response to the item, do not consider that part of the RFA response.

2. Score what the S actually says or does or plans, not what he should have said or done or might have said or done. That is, score only when presented with some specific evidence. In general, the scorer should allow himself only one step of inference: e.g., if the S says, "I'll call . . . ," the scorer can infer that the S will speak to that person, but not what he will say when he speaks.

3. Unless the S specifies otherwise, assume that the S himself means to do things. If, for example, the S should write "Call" and not specify further, assume that the S himself intends to call. The two exceptions are filing and typing, which are assumed to be done by his secretary unless otherwise specified.

4. Score with each item everything referring to that item, regardless of where found. Thus, if the S writes out agenda for himself, each point that relates to a particular item is to be scored along with that item. However, number of words on the RFA is not counted.

5. Unless the S states otherwise, assume that all notes, memos, etc. that he prepares will not leave his desk until after the conclusion of the test period.

6. Most items can pose more than a single problem for the S, and he may choose to take more than a single action in his response to an item. It is not always possible to identify definitely the various problems that the S sees in an item, but these can be inferred from the different courses of action he takes or plans to take in response to that item, or from the RFA form.

7. Some Courses of Action may be scored from the RFA, whether they are mentioned on the item itself or not. These concern for the most part implications of the action, or reasons for the action, such as "considers cost," "good community relations," or "will improve employee relations." Such scoring may be done only if appropriate Courses of Action are listed for the item. (Note paragraph 8 immediately following for circumstances under which stylistic categories may be scored from the RFA.)

8. If the S works on an item, but makes no corresponding response on the RFA form, score for the item response nevertheless. If, on the other hand, the S does not work on an item but writes on the RFA form something about his intentions, enter a zero in the "Number of Words" category and attempt to score only for the categories concerned with analysis (e.g., categories 7, 8, 9, 10, 11, 56) by using the information provided on the RFA form.

9. In those cases where the S fabricates, or "makes up" things, essentially two problems grow out of the original one. The first relates to the S's response to the original item, the second to the situation the S has created by his fabrication. Score the entire nonfabricated part and only the number of words for the fabricated part.

10. Whenever the scorer feels that the S's plans or actions are so unclear as to be unscorable, score that response only as much as possible, or whenever the scorer feels that he is reasonably certain of the S's intentions. If, for example, the response contains a "please," score under "Courtesy to Subordinates." Score for that part, in short, of which the scorer is sure.

11. Do not score the S's interaction with his secretary if this interaction involves only simple instructions to type and/or file and/or to

transmit letters or memos. Do score if the S goes beyond mere instructions to type and/or to transmit; e.g., score if the S specifies the number of copies to be typed, etc.

12. Whenever the S says that he will dictate a letter, the response is to be handled in exactly the same way as would a response in which the S says that he will write a letter.

13. Sometimes the S's response will involve a contingency. In such cases score all categories as though the contingency will be met.

14. Make notes of all questions you have and of all irregularities you find and bring these up with the scoring supervisor.

SUGGESTED STEPS FOR SCORING

1. PRELIMINARY PROCEDURE

   A. There are separate score sheets for odd- and for even-numbered items. Use the appropriate score sheets for the half you are scoring, and fill in the spaces at the bottom of each page that identify in-basket, the scorer, etc.

   B. Examine the contents of the in-basket. Look through all items to discover their relationships to each other. Look for the Reasons for Action Form, agenda, calendar, notes, etc., which might apply to more than one item and put them in front of you for ready reference.

   C. Do not rearrange items according to number, but work through them as assembled by the S.

2. ITEM SCORING PROCEDURE

   A. Read the item quickly if you cannot remember its contents.

   B. Read the S's response written on the item itself or on a sheet of paper attached to the item.

   C. Read anything else you have found on inspection that applies to the item being scored.

   D. Read the Reasons for Action Form for the item in question.

   E. Turn to the "Courses of Action" for the first "odd" or "even" item numbered in the pile, depending on which half you are scoring, and record the course(s) of action the S has taken by entering a "1" in the appropriate cell(s) on the score sheet.

   F. After scoring "Courses of Action," turn to page 2 of the score sheet and begin scoring by counting or estimating the number of words

according to detailed instructions on Category 1, Estimated Number of Words. Look at the distribution intervals of number of words and enter the proper code number in the space provided.

G. Score the item for all appropriate categories for the response given. Enter a dash if there is no score for that category for that item.

H. Continue this procedure for all of the other items.

3. FINAL PROCEDURE

Make your ratings of the S's performance on the in-basket by encircling a number on each 10-point scale. 0 is the lowest point and 9 is the highest point on each scale.

LIST OF SCORING CATEGORIES

Usual Courses of Action

Unusual Course of Action

1. Estimated Number of Words
2. Uses Abbreviations
3. Number of Subordinates Involved
4. Number of Peers Involved
5. Number of Superiors Involved
6. Number of Outsiders Involved
7. Conceptual Analysis
8. Uses Program Values or Physical Values in Analysis
9. Aware of Human Values, Feelings of Others, or Employee Relations
10. Shows Awareness of Superiors
11. Evaluation and Development of Staff
12. Shows Awareness of Poor Work
13. Informality to Subordinates
14. Informality to Peers
15. Informality to Superiors
16. Courtesy to Subordinates
17. Courtesy to Peers
18. Courtesy to Superiors
19. Courtesy to Outsiders
20. Discusses with Subordinates
21. Discusses with Peers
22. Discusses with Superiors
23. Discusses with Outsiders
24. Requires Further Information
25. Asks for Information, Opinion, Advice, or Permission from Subordinates
26. Asks for Information, Opinion, Advice, or Permission from Peers
27. Asks for Information, Opinion, Advice, or Permission from Superiors
28. Gives Information to Superiors
29. Gives Suggestions to Superiors
30. Gives Directions and/or Suggestions to Subordinates
31. Explains Actions to Subordinates
32. Explains Actions to Peers
33. Explains Actions to Superiors
34. Communicates by Writing
35. Communicates Face-to-Face
36. Delays or Postpones Decision, or Temporizes
37. Arrives at a Procedure for Deciding
38. Concluding Decision
39. Makes Tentative or Definite Plans Only
40. Takes Leading Action
41. Takes Terminal Action
42. Schedules Work for a Specific Day
43. Schedules Work for Within a Specific Week
44. Indicates Time Priorities
45. Refers to Peers
46. Refers to Superiors
47. Follows Lead by Subordinates
48. Follows Lead by Peers
49. Follows Lead by Superiors
50. Follows a Pre-Established Structure
51. Initiates a New Structure
52. Encourages or Notes Need for Quickness or Promptness
53. Sets a Deadline
54. Sets up Checks on Others
55. Sets up Checks on Himself
56. Concern with Proper Channels
57. Responds with Specificity
58. Item not Attempted

CALIFORNIA DEPARTMENT OF COMMERCE PERSONNEL

Superiors

Governor of California

George Apex

John Veep

Peers

Al Einstein

Tom Hiroshima

Joe Madison

E. Warren Mason

Grace Pryor

Harry Rush

Ora Sellers

Mary Staffer

Subordinates

Marjorie Sperry (Secretary)

Herb Bay

Alden Bee

Chet Brinkley

Jay Capitola

Ralph Chavez

Norman Dodger

Dick Fairmont

Keith Giant

Paul Hollywood

Mark Hopkins

Ray Loupe

Bill Manoogian

Hy Market

Van Ness

Jose Olivera

Dave Pasadena

Bob Rico

Al Smith

Jack Tarr

Walt Union

James Vine

HOW TO SCORE COURSES OF ACTION

USUAL COURSES OF ACTION

For each item in the in-basket, there is a list of those courses of action considered usual (see pp. 60-72). Score for any of the courses of action the S takes or plans to take by entering a "1" in the appropriate cell(s) on the score sheet.

Unless otherwise specified, the following rules apply:

Rule a: Score plans and contingent plans the same as actual actions.

Rule b: Score for a course of action regardless of whether the S actually takes the action or merely considers taking that action.

Rule c: For those courses of action in which the S refers or plans to refer a problem to another, score regardless of whether the S refers the problem directly or through his secretary.

Rule d: When the Courses of Action describe comments or evaluations, rather than actions, the RFA form may be used in scoring.

UNUSUAL COURSE OF ACTION

General Definition: Score here any course of action the S takes or plans to take that is not listed in "Usual Courses of Action."

Rule a: Unless otherwise specified, do not score here if the S takes or plans to take trivial actions, such as filing, delaying, omitting, discarding, studying later, needing more information, etc. Do score here if the S specifically indicates no action is necessary on an item on which most subjects take action.

Rule b: Do not score here embellishments or mere extensions of actions listed in "Usual Courses of Action."

Rule c: Do not score here if the unusual course of action results from an inappropriate perception of the item, an unwarranted assumption, or a fabrication.

CATEGORIES OF STYLE

Each of the Stylistic Categories describing the way in which the S took action is presented below. A general definition of what each category means, rules concerning its use, and examples are given.

Scoring for any category (except Estimated Number of Words, Number of Subordinates Involved, Number of Superiors Involved, Number of Peers Involved, Number of Outsiders Involved) is done by writing a "1" in the appropriate cell. Estimated Number of Words is scored by using the code number representing the distribution interval in which the actual or estimated total number of words falls.

Before scoring the categories, read the In-Basket Scoring Procedure on pages 6 through 11.

1. ESTIMATED NUMBER OF WORDS

General Definition: Estimate the total number of words written by the S in response to each item and enter a 0, 1, 2, 3, or 4 on the score sheet in accordance with the following principles:

0 - nothing written
1 - very short: 1-6 words written
2 - short: 7-25 words written
3 - medium: 26-75 words written
4 - long: more than 75 words written

The following rules are included as guides for estimating the number of words:

Rule a: Do not count here the number of words written on the RFA form.

Rule b: Count articles.

Rule c: Count each abbreviation as one word.

Rule d: Count each contraction and each possessive as a single word.

Rule e: Count each arabic or roman numeral sequence as a single word.

Rule f: In a hyphenated compound, count each word of the compound as a separate word only if it can stand alone.

Rule g: Handle dates in the following manner:

month - 1 word
day - 1 word
year - 1 word

Rule h: Handle time in the following manner:

6:30 - 1 word
6:30 p.m. - 2 words

Rule i: Handle telephone numbers in the following manner:

Area Code - 1 word
Exchange - 1 word
Remaining numbers - 1 word

Rule j: Count each check as one word.

Rule k: Count an asterisk, a dagger, or an arrow as one word.

Rule l: Count repetitions, if these should occur.

Rule m: Count each symbol as one word. (#, $, %, ¢, @, &, -- one word each)

Rule n: Count each set of ditto marks as one word (do not count if they are used as quotation marks).

Rule o: Do not count punctuation.

Rule p: Do not count words that the S has erased or crossed out.

Rule q: Do not count words written on paper that is obviously scrap paper to be thrown away.

Rule r: Count signatures--each word in a signature counts as one word.

Rule s: Count any single group of initials as one word.

Rule t: Count the filling in of headings on buck slips, memos, etc.

Rule u: It is not necessary for the words to be written on the item itself. Count words that belong to the item regardless of where they appear in the in-basket, except on the RFA form (e.g., on agenda, calendars, general notes, etc.).

Rule v: When two or more items are clipped together with a single response that applies equally to both, score the word count for the top item only, but score all other applicable categories for each item.

2. USES ABBREVIATIONS

General Definition: Score here if the S uses abbreviations in his written responses to other people.

Rule a: Do not score here if the only abbreviations in the item are dates or S's (in his assumed role) initials.

Rule b: Do not score here for standard abbreviations: Mr., Mrs., &, cc., and re.

Rule c: Score here for any other abbreviation, even though common to the agency (e.g., CDC--Calif. Dept. of Commerce, BDA, BDS, etc.).

Rule d: Score here if S, in returning a memo to its original sender, uses an inversion symbol, ∩ , or arrows reversing names on buck slip.

Rule e: Do not score here if S uses the first initial and last name for himself or others. Do score if he uses both initials for others.

3. NUMBER OF SUBORDINATES INVOLVED

General Definition: Enter here the number of subordinates involved by the S in his action or plans for action (maximum = 5). For the CDC In-Basket, this class includes the following:

Marjorie Sperry (Secretary)	Keith Giant	Jose Olivera
Herb Bay	Paul Hollywood	Dave Pasadena
Alden Bee	Mark Hopkins	Bob Rico
Chet Brinkley	Ray Loupe	Al Smith
Jay Capitola	Bill Manoogian	Jack Tarr
Ralph Chavez	Hy Market	Walt Union
Norman Dodger	Van Ness	James Vine
Dick Fairmont		

Rule a: It does not matter how deeply or superficially the person is involved, but the S in his response must in some way explicitly recognize the involvement.

Rule b: Score here even if the person is involved only contingently, i.e., through a contingent decision.

Rule c: Where letters are involved, if the S signs his name to a letter, the person to whom the communication is going is scored here.

Rule d: If the S signs a letter prepared for his signature by anyone other than his secretary, score, along with the addressee, the author of the letter only if the S sends the letter back to the author of the letter.

Rule e: Do not score here if the S mentions persons who would be involved if a plan that he recommends to another, but that he has not originated, is finally approved by the other (i.e., the plan is not his and is not yet decided upon).

Rule f: Do not score here if the S merely asks his secretary to type, to transmit a letter or a memo, to file, to hold, or to make a notation on his calendar. However, score here if the S asks or plans to ask his secretary to remind him of something or to bring material to his attention at a later date or asks her to do any other chores.

Rule g: Score here even if the S merely suggests involvement to another.

Rule h: If the S involves or plans to involve a group of subordinates without specifying the individuals (e.g., "Meet with staff"), score as 3 subordinates.

Rule i: If the S involves one subordinate specifically, such as having him write a letter or discussing with him alone, and also plans to discuss the problem at a Staff Meeting (or Regional Managers meeting) score 1 for subordinate plus 3 for Regional Managers group, even though the subordinate is one of the three Regional Managers.

Rule j: Do not score here if the S involves the subordinate of a peer.

Note: If the S plans to bring up a problem at the Administrative Staff Meeting, score for involvement of subordinates, peers, and superiors.

4. NUMBER OF PEERS INVOLVED

General Definition: Score here if the S involves one or more peers in his action or plans for action.

Art Dodd's peers are the following:

Al Einstein	Mary Staffer
Tom Hiroshima	E. Warren Mason
Joe Madison	Grace Pryor
Ora Sellers	Harry Rush

Rule a: It does not matter how deeply or superficially the person is involved, but the S, in his response, must in some way explicitly recognize the involvement.

Rule b: Score here even if the person is involved only contingently, i.e., through a contingent decision (a decision depending upon other possible events or upon outcomes of partial action on the problem).

Rule c: Where letters are involved, if the S signs his name to a letter, the peer to whom the communication is going is scored here.

Rule d: If the S signs a letter prepared for his signature by anyone other than his secretary, score, along with the addressee, the author of the letter only if the S sends the letter back to the author of the letter.

Rule e: Do not score here if the S mentions persons who would be involved if a plan that he recommends to another, but that he has not originated, is finally approved by the other (i.e., the plan is not his and is not yet decided upon).

Rule f: Do not score here if the S merely mentions someone without involving him. Involvement implies that the person involved will know about the S's course of action as a consequence of the action itself or of the planned action.

Note: If the S plans to bring up a problem at the Administrative Staff Meeting, score for involvement of subordinates, peers, and superiors.

5. NUMBER OF SUPERIORS INVOLVED

General Definition: Score here if the S involves one or more superiors. Art Dodd's superiors are the following: Governor of California, George Apex, John Veep.

Rule a: It does not matter how deeply or superficially the person is involved, but the S, in his response, must in some way explicitly recognize the involvement.

Rule b: Score here even if the person is involved only contingently, i.e., through a contingent decision (a decision depending upon other possible events or upon outcomes of partial action on the problem).

Rule c: Where letters are involved, if the S signs his name to a letter, the superior to whom the communication is going is scored here.

Rule d: If the S signs a letter prepared for his signature by anyone other than his secretary, score, along with the addressee, the author of the letter only if the S sends the letter back to the author of the letter.

Rule e: Do not score here if the S mentions persons who would be involved if a plan that he recommends to another, but that he has not originated, is finally approved by the other (i.e., the plan is not his and is not yet decided upon).

Rule f: Do not score here if the S merely mentions someone without involving him. Involvement implies that the person involved will know about the S's course of action as a consequence of the action itself or of the planned action.

Note: If the S plans to bring a problem up at the Administrative Staff Meeting, score for involvement of subordinates, peers, and superiors.

6. NUMBER OF OUTSIDERS INVOLVED

General Definition: Score here if the S involves one or more outsiders.

Rule a: It does not matter how deeply or superficially the person is involved, but the S, in his response, must in some way explicitly recognize the involvement.

Rule b: Score here even if the person is involved only contingently, i.e., through a contingent decision (a decision depending upon other possible events or upon outcomes of partial action on the problem).

Rule c: Where letters are involved, if the S signs his name to a letter, the outsider to whom the communication is going is scored here.

Rule d: If the S signs a letter prepared for his signature by anyone other than his secretary, score, along with the addressee, the author of the letter only if the S sends the letter back to the author of the letter.

Rule e: Do not score here if the S mentions persons who would be involved if a plan that he recommends to another, but that he has not originated, is finally approved by the other (i.e., the plan is not his and is not yet decided upon).

Rule f: Do not score here if the S merely mentions someone without involving him. Involvement implies that the person involved will know about the S's course of action as a consequence of the action itself or of the planned action.

Note: Score here if the S involves Port Authority (P.A.) people.

Note: Score here if the S has Capitola fill out form for man at bonding company or if the S suggests that Chavez contact Rabb.

7. CONCEPTUAL ANALYSIS

General Definition: This category refers to the S's recognition of implications of the problem and/or action and/or solution. Score here if the S makes it clear in his response that he has seen more than the immediate implications of the problem(s) presented by the item. Use the RFA form for clues.

Rule a: Score here any response that indicates the S's recognition that an action, fact, problem, plan, etc. will involve more than seems apparent.

Rule b: Score here any response that indicates that the S generalizes from a specific situation and sees how this specific situation can have an effect on other things.

Rule c: Score here any response that indicates that the S sees the problem in relation to the total situation (e.g., a problem that concerns the Department of Commerce could concern the entire state).

Rule d: Score here any response that indicates that the S is branching out in his conception of the consequences of the particular item (e.g., effect of action in his Division on other Divisions).

Rule e: Score here any response that indicates that the S has seen the interrelationship of the problems raised by two or more different items. Do not include here the mere clipping together of items because they involve the same person or action. Do not score here if S relates items on only a trivial level.

Rule f: Do not score here for mere discussion.

Rule g: Do not score here if the S merely asks for more information or states the need for more information.

Rule h: Do not score here if the S merely notes priority or urgency.

Rule i: Do not score here if the S merely states a need for guidance or help.

Rule j: Do not score here if the S merely states another's abilities or qualities for handling a particular item or for providing information.

Rule k: Do not score here if the S merely repeats an analysis made by someone else in an item.

Rule l: Do not score here merely because a response is scored in "Uses Program Values or Physical Values in Analysis," "Aware of Human Values, Feelings of Others, or Employee Relations," or Evaluation and Development of Staff."

8. USES PROGRAM VALUES OR PHYSICAL VALUES IN ANALYSIS

General Definition: Score here if the S shows concern for community support, public relations, instructional program, educational opportunity, etc. Score here if the S shows concern for such physical things as buildings, property, and equipment. Score here if the S recognizes the cost implications of the problem and/or action and/or solution. Use the "why" column of the RFA form for clues.

Rule a: To be scored here the S's response must go beyond a mere restatement of the problem; it must provide reasons for the S's action.

Rule b: If the S orients a program value toward a particular individual, score here and in "Aware of Human Values" as well.

9. AWARE OF HUMAN VALUES, FEELINGS OF OTHERS, OR EMPLOYEE RELATIONS

General Definition: Score here if the S

1) shows concern for the welfare of others, specifically indicates that he is using human values in his analysis or actions, or places the good of the individual above other considerations.

2) considers the effect of an action on the feelings of others. Typical responses scored here would be those that stated that the S did not want to hurt the feelings of someone or that he wanted to make someone feel better.

3) recognizes the employee relations or morale implications of a problem. The S may consider employee relations or morale in commenting on good work, in the manner in which information is presented to employees, in dealing with groups of employees, or as an aspect of his job.

Rule a: To be scored here the S's response must go beyond a mere restatement of the problem; it must provide reasons for the S's action.

Rule b: Do not score here evidences of consideration, such as "thank you" or "please."

Rule c: Do not score here if the morale aspect of a problem has been pointed out by others or if the major problem posed by the item is one of morale unless the S goes far beyond what has been pointed out to him.

10. SHOWS AWARENESS OF SUPERIORS

General Definition: Score here if the S shows in his response a desire to please a superior or a general concern for acting in accord with the wishes of a superior. He may mention a desire to conform to

a superior's standards, interests, or method of action. Typical responses would be "Director's interest," "sort of thing Veep likes," "Governor has a strong interest in this," "plan established by Director must be followed," etc. This response will probably come mainly from the "Why" column of the RFA, although it can also occur in an explanation of action given by the S to another person.

Rule a: Do not score here if, in response to a superior's request for suggestions, the S merely says he complied because he "was supposed to" or because "that's what Director wanted."

11. EVALUATION AND DEVELOPMENT OF STAFF

General Description: Score here if the S shows an interest in evaluating the performance, attitude, or ability of his subordinate(s) or in assisting in their training or development. Score here if the S notes that a subordinate needs more training.

Rule a: Score here if the S plans to observe the work of a subordinate. The S may note that he is assigning a task to a particular subordinate in order to see how he handles it, or he may make plans to observe a subordinate at a meeting, etc.

Rule b: Score here if the S notes that he is assigning a task to a subordinate to give him experience or knowledge or if he notes the training aspects of a position or assignment.

Rule c: Score here if the S gives a subordinate specific suggestions for improving his work.

Rule d: Do not score here if the S gives specific advice on how to handle a specific problem. Do score, however, if the S gives general advice on how the subordinate should approach problem solving.

Rule e: Score here if the S shows concern for helping a subordinate improve, even if he has no specific plans on how to effect the improvement.

Some examples (from RFA form or from item responses) of responses that would be scored here:

"Appraise staff."

"Encourage suggestions."

"This will force a decision on the part of X."

"Just another of X's problems to search and find the answer for."

"See how he handles this."

"Needs to gain experience in making decisions."

"Wish to assist in development opportunity."

"Train X to complete a recommendation."

"Involve line to increase their awareness of problems."

12. SHOWS AWARENESS OF POOR WORK

General Definition: Score here any response in which the S corrects or specifically shows awareness of poor work on the part of a subordinate. He may notice poor grammar, poor typing, poor writing, etc. or he may notice poor ideas or poor handling of a problem.

Rule a: Score here if the S changes or adds to a letter or a form prepared for his signature or does not sign it.

Rule b: Do not score here if the S merely assents to another's pointing out poor work to him. To be scored here, the S's response must make it clear that the S himself has perceived poor work.

Rule c: Score here even though the S merely notes but does not communicate his opinion to others.

Rule d: Do not score here if the S notes that the subordinate has not followed proper channels.

13. INFORMALITY TO SUBORDINATES

General Definition: Score here any response that contains an act or expression of informality by the S to a subordinate. Include here the

use of slang or colloquial language, the use of first names, general inquiries about others' welfare, health, family, etc.

Rule a: Score here if the S uses his own first name in signing a note, memo, or letter.

Rule b: To be scored here, the S must be informal to the person whom he is directly addressing. Do not score here, for example, if he uses the first name of one person in a note to another person.

Rule c: Do not score here if the S signs a note or letter with his initials, or if he addresses another person by using that person's initials. The latter would be scored in "Uses Abbreviations."

14. INFORMALITY TO PEERS

General Definition: Score here any response that contains an act or expression of informality by the S to a peer. Include here the use of slang or colloquial language, the use of first names, general inquiries about others' welfare, health, family, etc.

Rule a: Score here if the S uses his own first name in signing a note, memo, or letter.

Rule b: To be scored here, the S must be informal to the person whom he is directly addressing. Do not score here, for example, if he uses the first name of one person in a note to another person.

Rule c: Do not score here if the S signs a note or letter with his initials, or if he addresses another person by using that person's initials. The latter would be scored in "Uses Abbreviations."

15. INFORMALITY TO SUPERIORS

General Definition: Score here any response that contains an act or expression of informality by the S to a superior. Include here the

use of slang or colloquial language, the use of first names, general inquiries about others' welfare, health, family, etc.

Rule a: Score here if the S uses his own first name in signing a note, memo, or letter.

Rule b: To be scored here, the S must be informal to the person whom he is directly addressing. Do not score here, for example, if he uses the first name of one person in a note to another person.

Rule c: Do not score here if the S signs a note or letter with his own initials, or if he addresses another person by using that person's initials. The latter would be scored in "Uses Abbreviations."

16. COURTESY TO SUBORDINATES

General Definition: Score here any expression or act of courtesy directed by the S to subordinates. The courtesy may be formal, such as "please," "thank you," "sorry," or it may be more expansive.

Rule a: Score here any response that expresses solicitude or appreciation.

Rule b: Score here if the act itself is courteous, even though nothing actually courteous in itself is explicitly stated by the S.

Rule c: Do not score here headings, formal greetings, salutations, and complimentary closings. That is, do not score here merely because the S starts a letter with "Dear" before the addressee's name or because he signs a letter with a formal complimentary closing, such as "Sincerely" or "Very truly yours," or because he greets someone with "Hello" or "Good Morning."

Rule d: Score here if the S (in his actual response or on the RFA form) specifically says he is doing something for the sake of courtesy, whether or not the act actually seems courteous.

Rule e: Score here if the S, in a general way, offers to be of help.

Rule f: Score here a commendation (formal or otherwise) to a subordinate.

17. COURTESY TO PEERS

General Definition: Score here any expression or act of courtesy directed by the S to his peers. The courtesy may be formal, such as "please," "thank you," "sorry," or it may be more expansive.

Rule a: Score here any response that expresses solicitude or appreciation.

Rule b: Score here if the act itself is courteous, even though nothing actually courteous in itself is explicitly stated by the S.

Rule c: Do not score here headings, formal greetings, salutations, and complimentary closings. That is, do not score here merely because the S starts a letter with "Dear" before the addressee's name or because he signs a letter with a formal complimentary closing, such as "Sincerely" or "Very truly yours," or because he greets someone with "Hello" or "Good Morning."

Rule d: Score here if the S (in his actual response or on the RFA form) specifically says he is doing something for the sake of courtesy, whether or not the act actually seems courteous.

Rule e: Score here if the S, in a general way, offers to be of help.

18. COURTESY TO SUPERIORS

General Definition: Score here any expression or act of courtesy directed by the S to superiors. The courtesy may be formal, such as "please," "thank you," "sorry," or it may be more expansive.

Rule a: Score here any response that expresses solicitude or appreciation.

Rule b: Score here if the act itself is courteous, even though nothing actually courteous in itself is explicitly stated by the S.

Rule c: Do not score here headings, formal greetings, salutations, and complimentary closings. That is, do not score here merely because the S starts a letter with "Dear" before the addressee's name or because he signs a letter with a formal complimentary closing, such as "Sincerely" or "Very truly yours," or because he greets someone with "Hello" or "Good Morning."

Rule d: Score here if the S (in his actual response or on the RFA form) specifically says he is doing something for the sake of courtesy, whether or not the act actually seems courteous.

Rule e: Score here if the S, in a general way, offers to be of help.

19. COURTESY TO OUTSIDERS

General Definition: Score here any expression or act of courtesy directed by the S to outsiders. The courtesy may be formal, such as "please," "thank you," "sorry," or it may be more expansive.

Rule a: Score here any response that expresses solicitude or appreciation.

Rule b: Score here if the act itself is courteous, even though nothing actually courteous in itself is explicitly stated by the S.

Rule c: Do not score here headings, formal greetings, salutations, and complimentary closings. That is, do not score here merely because the S starts a letter with "Dear" before the addressee's name or because he signs a letter with a formal complimentary closing, such as "Sincerely" or "Very truly yours," or because he greets someone with "Hello" or "Good Morning."

Rule d: Score here if the S (in his actual response or on the RFA form) specifically says he is doing something for the sake of courtesy, whether or not the act actually seems courteous.

Rule e: Score here if the S, in a general way, offers to be of help.

20. DISCUSSES WITH SUBORDINATES

General Definition: Score here any response in which the S discusses or plans to discuss with subordinates.

Rule a: Do not score here if the S merely informs a subordinate of something or if the S merely asks for information. Discussion implies a two-way "give-and-take."

Rule b: Score here regardless of whether discussion is face-to-face or by telephone.

Note: If the S plans to bring up a problem at the Administrative Staff Meeting, score here and in "Discusses with Peers" and "Discusses with Superiors."

21. DISCUSSES WITH PEERS

General Definition: Score here any response in which the S discusses or plans to discuss with peers.

Rule a: Do not score here if the S merely informs a peer of something or if the S merely asks for information. Discussion implies a two-way "give-and-take."

Rule b: Score here regardless of whether discussion is face-to-face or by telephone.

22. DISCUSSES WITH SUPERIORS

General Definition: Score here any response in which the S discusses or plans to discuss with superiors.

Rule a: Do not score here if the S merely returns or plans to return a phone call. Do score here, however, regardless of whether a discussion is face-to-face or by telephone.

Rule b: Do not score here if the S merely informs a superior of something or if the S merely asks for information. Discussion implies a two-way "give-and-take."

23. DISCUSSES WITH OUTSIDERS

General Definition: Score here any response in which the S discusses or plans to discuss with an outsider.

Rule a: Do not score here if the S merely plans to inform an outsider of something or if the S merely asks for information. Discussion implies a two-way "give-and-take."

24. REQUIRES FURTHER INFORMATION

General Definition: Score here any response that explicitly indicates the S's feeling a need for additional information before arriving at a decision, whether or not he takes any action toward securing this information.

Rule a: Score here if the S says he needs to confer, discuss, or in any other way get information before arriving at a decision. Do not score here if the S merely indicates he needs to study, look over again, etc. before arriving at a decision. These are scored in "Delays, Postpones, or Temporizes."

Rule b: The mere fact that the S is going to discuss a problem with someone is not sufficient for scoring here. He must specifically indicate the need for more information or ask specific questions.

Rule c: Score here if the S indicates on the RFA that he needs more information, wants background, etc.

25. ASKS FOR INFORMATION, OPINION, ADVICE, OR PERMISSION FROM SUBORDINATES

General Definition: Score here any communication, actual or planned, in which the S asks subordinates for information, opinion, advice, or permission.

Rule a: Score here even if the S does not indicate how he will get the information, etc.

Rule b: Score here if the S attempts to get a subordinate's reaction.

Rule c: Do not score here if the S is asking a merely rhetorical question.

Rule d: Score here if the S says "Check with . . . ," "Brief me," "Fill me in," etc.

Rule e: Score here only the person who will actually give the information to the S, not the person with whom the information originates.

26. ASKS FOR INFORMATION, OPINION, ADVICE, OR PERMISSION FROM PEERS

General Definition: Score here any communication, actual or planned, in which the S asks peers for information, opinion, advice, or permission.

Rule a: Score here even if the S does not indicate how he will get the information, etc.

Rule b: Score here if the S attempts to get a peer's reaction.

Rule c: Do not score here if the S is asking a merely rhetorical question.

Rule d: Score here if the S says "Check with . . . ," "Brief me," "Fill me in," etc.

Rule e: Score here only the person who will actually give the information to the S, not the person with whom the information originates.

27. ASKS FOR INFORMATION, OPINION, ADVICE, OR PERMISSION FROM SUPERIORS

General Definition: Score here any communication, actual or planned, in which the S asks for information, opinion, advice, or permission.

Rule a: Score here even if the S does not indicate how he will get the information, etc.

Rule b: Score here if the S attempts to get a superior's reaction.

Rule c: Do not score here if the S is asking a merely rhetorical question.

Rule d: Score here if the S says "Check with . . . ," "Brief me," "Fill me in," etc.

Rule e: Score here only the person who will actually give the information to the S, not the person with whom the information originates.

28. GIVES INFORMATION TO SUPERIORS

General Definition: Score here any response in which the S, himself or through another person, gives or plans to give substantive, nontrivial, objective information to a superior.

Rule a: Score here if the S gives information for either explicit reasons or general, background reasons.

Rule b: Score here if the S "reminds" or plans to "remind" someone of something.

Rule c: Do not score here if the S merely gives instructions or directions or suggestions or merely delegates or refers a task or decision.

Rule d: Do not score here if the S merely explains his reasons for acting.

Rule e: Do not score here if the S merely signs or initials a standard form.

Rule f: Do not score here if the S merely complies or refuses to comply (i.e., if he merely says "yes" or "no" or "I can't do it," etc.).

Rule g: Do not score here if the S gives misinformation.

Rule h: If the information given is accompanied by such a statement as "I think," "I feel," "I believe," etc., score here only

if this statement is used rhetorically. Do not score here if the information given merely reflects the S's attitudes, views, beliefs, or other subjective feelings, whether or not the S actually uses such a phrase as "I believe," etc.

Rule i: Do not score here if the information or opinion can be verified only by the S himself.

Rule j: Do not score here if the information given is trivial or is merely mentioned subordinately, in passing, or as a courtesy.

Rule k: Do not score here if the S gives information to another in the process of giving that person a task, if the information given is needed by that person to execute the task.

Rule l: Score here if the S gives information to a superior, even if the superior has asked for it.

Rule m: Score here if the S sends a copy of a letter to a superior.

29. GIVES SUGGESTIONS TO SUPERIORS

General Definition: Score here any response in which the S plans to or actually gives directions and/or suggestions to a superior.

Rule a: Score here if the S writes a letter but asks his superior to sign it (unless such a letter has been requested by that superior).

Rule b: Do not score here if the S merely refers a problem to a superior, unless he gives specific suggestions on its handling.

Rule c: Do not score here if the S gives suggestions to a superior in response to a request for suggestions from that superior.

30. GIVES DIRECTIONS AND/OR SUGGESTIONS TO SUBORDINATES

General Definition: Score here any response in which the S plans to or actually gives directions and/or suggestions to subordinates.

Rule a: Do not score here if the S merely tells his secretary to type, to file, to hold, to transmit a memo or letter. Do score, however, if he asks her to recall an item to him on a certain date or for a certain event (staff meeting, conference, etc.) or if he asks her to make a notation on his calendar.

Rule b: Do not score here if the S signs a letter prepared for his signature and returns it to the sender with mere instructions to mail it.

Rule c: Score here for such things as:

"Please see me."
"Give me your recommendations."
"Please advise."
"Let's discuss."
"Handle this please."
"Would you take care of this?"

31. EXPLAINS ACTIONS TO SUBORDINATES

General Definition: Score here any response in which the S clearly gives or plans to give reasons for his actions or instructions to a subordinate, where such are not specifically requested or required. The S, by using such a phrase as "because," "since," "in order to," etc., must explicitly inform the person who receives the communication why he is effecting the action.

Rule a: Do not score here if the S merely states the obvious.

32. EXPLAINS ACTIONS TO PEERS

General Definition: Score here any response in which the S gives or plans to give a peer reasons for his actions or instructions, where

such are not specifically requested or required. The S, by using such a phrase as "because," "since," "in order to," etc., must explicitly inform the person who receives the communication why he is effecting the action.

Rule a: Do not score here if the S merely states the obvious.

33. EXPLAINS ACTIONS TO SUPERIORS

General Definition: Score here any response in which the S gives or plans to give a superior reasons for his actions or instructions, where such are not specifically requested or required. The S, by using such a phrase as "because," "since," "in order to," etc., must explicitly inform the person who receives the communication why he is effecting the action.

Rule a: Do not score here if the S merely states the obvious.

34. COMMUNICATES BY WRITING

General Definition: Score here all communications written or planned to be written to others by the S, including memos, letters, telegrams, and notes. Include posting memos, transmitting material written by others, signing letters written by others, distributing memos, etc.

Rule a: This category refers only to the means used, or planned to be used, by the S himself. Do not score here for means of communication that he directs others to use.

Rule b: Do not score here if the S merely says he will think about the problem, try to do it, etc. To be scored here a response must explicitly state the means to be used.

Rule c: Score here if the S initials or signs a standard form.

Rule d: Do not score here notes, memos, calendars, etc. written to the S by himself.

Rule e: Do not score here the written contents of an actual telephone call.

35. COMMUNICATES FACE-TO-FACE

General Definition: Score here actual or planned face-to-face communication by the S. Include meetings, individual discussion, etc.

Rule a: This category refers only to the means used, or planned to be used, by the S himself. Do not score here for means of communication that he directs others to use.

Rule b. Do not score here if the S merely says he will think about the problem, try to do it, etc. To be scored here a response must explicitly state the means to be used.

Rule c: Invitations extended by the S to others to visit the office are scored here if they are definite in the sense that it can be inferred that the S actually plans that such a meeting take place. Do not score such perfunctory invitations as "Hope to see you sometime"; "Drop in when you're around"; "Why don't we have a long talk when you're free"; etc.

Rule d: If the S writes that he will confer and doesn't specify how he will confer, assume that the conference will be face-to-face and score here.

Rule e: Do not score here merely because the S joins an organization.

Rule f: Do not score here if the S notes on a calendar meetings to which he has been committed by others unless he specifically indicates that he will be actively participating in the meeting.

Do not, for example, score here for

1) Indefinite plan to attend meetings (sometime) of the statewide Conference (B-11).
2) Agreeing to go to Training Workshop (B-24).
3) Noting Administrative Staff Meetings on calendar (unless the S plans to bring up a problem (B-12)).

36. DELAYS OR POSTPONES DECISION, OR TEMPORIZES

General Definition: Score here if the S clearly delays or postpones decision on the item. Score also any response communicated to another that indicates that the S, after having considered the item, is unwilling to commit himself to a decision or to a leading action at the present time. For example, in response to a request of some sort, the S neither complies fully nor refuses to comply, but merely stalls for time by stating that he will think about it, study it, get further information, etc., but takes no steps to get the further information.

Rule a: Do not score here if the S has taken any action that can be scored in "Arrives at a Procedure for Deciding" or "Concluding Decision."

Rule b: If the S merely postpones, score here, but do not score in "Plans Only" or any of the work scheduling categories. If he postpones until a specific time, score here and in the appropriate category of work scheduling, but not in "Plans Only."

Rule c: Do not score here if the S merely clips together all items that he did not have time for and marks, "Hold for return," "Do on return," etc.

Rule d: Do not score here if the S has written nothing on the item and remarks on the RFA form that he is postponing.

37. ARRIVES AT A PROCEDURE FOR DECIDING

General Definition: This category refers to the S's setting up the procedures that will be used in reaching a decision about how the problem posed by the item is to be solved.

Rule a: For a response to be scored here, it must indicate that the S will involve himself in making further decisions.

Rule b: Score here all responses involving planned discussions (meetings).

Rule c: Score here if the S asks for information needed to make a decision.

Rule d: Do not score here any response that can be scored as a "Concluding decision" or "terminal action."

Rule e: Do not score here if the S postpones or delays a response, even though he indicates a definite date for taking action.

Rule f: A score here indicates that the S is taking leading action or is making plans to take action ("Takes Leading Action" or "Plans Only").

38. CONCLUDING DECISION

General Definition: Score here if the S makes a concluding decision. Concluding decisions are decisions that are made as the end disposition of the problem. The S has made up his mind in responses under this subtype. He makes no provision for further checking or revision of his decision on any part of the problem or problems posed by the items.

Rule a: The scorer should not assume that the S has plans for additional study of an item unless he so indicates.

Rule b: Whether a concluding decision is carried into action is of no significance in determining this score.

Rule c: Requests for feedbacks on outcome do not constitute a basis for not regarding the decision as "concluding."

Rule d: An implication of the possibility that the S may later go back and elaborate upon or alter his decision does not constitute a basis for not regarding the decision as "concluding."

Rule e: Score here if the S calls back or plans to call back, in response to a message that he has been called, only if he has gone as far as he can with the information available to him.

Rule f: If the S makes a contingent decision (that is, an if-then decision), score here.

39. MAKES TENTATIVE OR DEFINITE PLANS ONLY

General Definition: Score here any responses that indicate that the S has made tentative or definite plans for future action, no part of which he has yet acted upon. Score here only if the S has taken no action on any part of the item.

Rule a: The S's writing out agenda, making a note to himself, etc. is to be scored here if it constitutes a plan.

Rule b: Do not score here if the S has taken any action on an item, regardless of how trivial. That is, do not score here any response that is scored in "Leading Action."

Rule c: Do not score here any response that has been scored in "Delays, postpones, or temporizes."

40. TAKES LEADING ACTION

General Definition: Score here if the S takes action (other than planning) that is short of terminal action. Score here if the S acts in such a way that his action will not be his final action but may lead to other actions that would be final.

Rule a: Include here calling a meeting to discuss a problem, writing a memo asking for information needed to solve a problem, having a subordinate start work that the S will complete later, etc.

Rule b: If a meeting is already scheduled before the S begins the test, his planning to discuss a problem at this meeting is not a leading action, but should instead be scored as a "plan"; to be scored here, a response must indicate that the S himself has in some way initiated the action.

Rule c: If the S sets up a meeting in response to an item, then other items that he decides to discuss at this meeting are also scored here.

Rule d: If the S plans to set up a meeting, even if he writes it on his calendar, but takes no action toward setting up the

meeting, score in "Plans Only" and not here. Score here if the S indicates in some way that he plans to check a letter or report after it is typed, rather than to sign it merely or to give routine approval.

41. TAKES TERMINAL ACTION

General Definition: Score here if the S takes action that assures him that no problem posed by the item will require his attention again.

Rule a: It may be that future events will raise other related problems, but their specific nature is not known by the S at the time he acts. Therefore, score here.

Rule b: Score here if the S calls back in response to a message that he has been called only if the S has gone as far as he can with the information available to him.

Rule c: Include here signing a report; delegating a decision or a task fully to a subordinate; referring the problem to another for solution.

Rule d: Score here if the S's action is terminal from the point of view of the S even though it is not terminal from the point of view of the scorer.

Rule e: A response may be scored here even though follow-up or feedback is implied if no further action on the part of the S is indicated. For example, if the S in referring a problem to a subordinate merely asks to be informed when the task is done, it would be scored here and in "Sets Up Checks on Others."

Rule f: The fact that the S will have to sign a letter that he has written and is having typed (if the letter itself implies terminal action) does not constitute a basis for not scoring here.

Note: Even though the S may be planning to attend the statewide conference or the Training Workshop, action in relation to these items may be terminal.

42. SCHEDULES WORK FOR A SPECIFIC DAY

General Definition: Score here any response in which the S specifies the day on which he will do something.

Rule a: Do not score here for an activity that will be scored in Schedules Work for Within a Specific Week. If, however, the S plans to take more than one action on an item, each action should be scored separately.

Rule b: Score here only for those activities that the S has been unable to complete during the test period. Do not score here actions completed during the test period.

Rule c: Score here only those actions or activities that the S himself plans or initiates. Do not score here for commitments that others have made for him or work that he schedules for others.

Rule d: Score here if the S specifies that he will do something "now" or "immediately."

Rule e: Do not score here if the S plans work for one of two or more alternative days. Such a response would be scored in Schedules Work for Within a Specific Week.

43. SCHEDULES WORK FOR WITHIN A SPECIFIC WEEK

General Definition: Score here any response in which the S specifies in what week he will do something. (Examples: "I'll write to him next week." "I'll do it as soon as I get back." "I'll discuss this next Thursday or Friday." "I'll handle this during the latter part of the week.")

Rule a: Do not score here for an activity that has been scored in Schedules Work for a Specific Day. If, however, the S plans to take more than one action on an item, each action should be scored separately.

Rule b: Score here only those actions or activities that the S himself plans or initiates. Do not score here for commitments that others have made for him.

Rule c: Score here if the S plans work for one of two or more alternative days.

Rule d: Score here if the S says he will do something by a certain day (as opposed to on a certain day).

Rule e: Score here if the S notes that he will attend to something while he is on QAPS.

Rule f: Score here if the S says he will do something "as soon as I return." Score here for "when I return," "on my return," "for my return," or "until my return" only if the S seems to mean it specifically. Do not score here for "after my return."

Rule g: Do not score here if the S says he will do something later.

44. INDICATES TIME PRIORITIES

General Definition: Score here if the S indicates time priorities in his handling of items, when these items are independent of each other. These priorities can apply to the S himself ("This is important--I'll do it first") or they can apply to his directions to others ("Take care of this problem before you do the others").

Rule a: Do not score here if the S merely indicates the date that something is to be done.

Rule b: Do not score here if the S indicates that one activity is logically contingent on another.

Rule c: Score here if the S indicates that an item is less important than others. ("This can wait," "Not urgent--handle later.")

45. REFERS TO PEERS

General Definition: Score here if the S refers a decision or a task to a peer.

46. REFERS TO SUPERIORS

General Definition: Score here if the S refers a decision or a task to a superior.

Rule a: Score here if the S sees more than one problem in an item and refers the decision on one of the problems to a superior.

47. FOLLOWS LEAD BY SUBORDINATES

General Definition: Score here if the S complies or plans to comply with instructions, suggestions, or requests explicitly addressed to him by a subordinate.

Rule a: If the S is asked to call someone and does so, score here. If the S is instructed to offer suggestions and does so, score here, etc.

Rule b: Instructions, suggestions, requests, etc. must be explicit and not merely implicit.

Rule c: Score here if the S follows any instructions accompanying the specific item, even if these instructions merely restate formal regulations.

Rule d: Score here if leading action is planned or taken toward compliance.

Rule e: Score here if the S calls back upon receiving notice that someone has called him.

Rule f: Do not score here the mere act of answering a communication.

Rule g: In those cases where the S is given more than one lead by a subordinate, score here even if the S follows only one lead.

Rule h: Do not score here if the S revises a letter prepared for his signature, even though he also signs the letter.

Note: Whom the lead comes from is listed for each item in the "Courses of Action" section of this manual.

48. FOLLOWS LEAD BY PEERS

General Definition: Score here if the S complies or plans to comply with instructions, suggestions, or requests explicitly addressed to him by a peer.

Rule a: If the S is asked to call someone and does so, score here. If the S is instructed to offer suggestions and does so, score here, etc.

Rule b: Instructions, suggestions, requests, etc. must be explicit and not merely implicit.

Rule c: Score here if the S follows any instructions accompanying the specific item, even if these instructions merely restate formal regulations.

Rule d: Score here if leading action is planned or taken toward compliance.

Rule e: Score here if the S calls back upon receiving notice that someone has called him.

Rule f: Do not score here the mere act of answering a communication.

Rule g: In those cases where the S is given more than one lead by a peer, score here even if the S follows only one lead.

Rule h: Do not score here if the S revises a letter prepared for his signature, even though he also signs the letter.

Note: Whom the lead comes from is listed for each item in the "Courses of Action" section of this manual.

49. FOLLOWS LEAD BY SUPERIORS

General Definition: Score here if the S complies or plans to comply with instructions, suggestions, or requests explicitly addressed to him by a superior.

Rule a: If the S is asked to call someone and does so, score here. If the S is instructed to offer suggestions and does so, score here, etc.

Rule b: Instructions, suggestions, requests, etc. must be explicit and not merely implicit.

Rule c: Score here if the S follows any instructions accompanying the specific item, even if these instructions merely restate formal regulations.

Rule d: Score here if leading action is planned or taken toward compliance.

Rule e: Score here if the S calls back upon receiving notice that someone has called him.

Rule f: Do not score here the mere act of answering a communication.

Rule g: In those cases where the S is given more than one lead by a superior, score here even if the S follows only one lead.

Rule h: Do not score here if the S revises a letter prepared for his signature, even though he also signs the letter.

Note: Whom the lead comes from is listed for each item in the "Courses of Action" section of this manual.

50. FOLLOWS A PREESTABLISHED STRUCTURE

General Definition: Score here any response that indicates that the S decides to follow a formal regulation or a written rule. To be scored here, the response must indicate that the S has recognized the policy and has decided, without being instructed to do so, to use it.

Score here also if the S uses or plans to use one or more of the following routines:

1. Distributing, posting, or announcing information to the entire staff.
2. Signing or initialing standard forms prepared for the S's signature.
3. Announcing (not discussing) the content of an item at a staff meeting--no further action planned.

4. Requesting already available clerical assistance for such things as filing, distributing, mimeographing, etc.
5. Accepting the opinion of someone else who may be presumed to have reviewed the problem.
6. Filing in its proper place such things as an officer's folder, etc. Also, taking something out of a file (by himself or by his secretary).
7. Referring a problem to already existing committees or individuals (whose function it is to deal with such problems) for study, action, or recommendations.
8. Making a note or reminder on a calendar, etc. or asking his secretary to do so.
9. Having his secretary place a call.
10. Returning calls.

Rule a: Do not score here if the S merely signs a letter prepared for his signature.

Rule b: Score here if the S refers a problem back to the person who sent it to him, provided it is clearly that person's duty.

Rule c: Score here if the S specifically thinks that he is following a preestablished structure, even if, in the opinion of the scorer, he is not.

Note: If the S appoints Capitola Acting Manager during his absence, score here.

51. INITIATES A NEW STRUCTURE

General Definition: Score here any response that indicates that the S is not merely using a routine, complying with instructions, or following a formal regulation, but rather that he is developing (or considering developing) or using a new procedure that he devises to fit the specific problem (e.g., setting up an ad hoc committee).

Rule a: Score here if the S combines routines in a new way in his solution of the problem.

Rule b: Score here if the S specifically changes, broadens, or narrows a subordinate's duties.

Rule c: Score here if the S has 2 subordinates coordinate or a subordinate discuss directly with someone that the S himself might be expected to deal with (Bay working out problem with Sellers, etc.).

Rule d: Score here whenever the S gives a task to a subordinate that he himself normally would do.

Rule e: Score here if the suggestions the S gives to a superior would initiate a new structure, even if he has been asked to give suggestions to the superior.

Rule f: Score here if the S specifically suggests new goals or new areas of work (that do not merely comply with another's suggestions).

Rule g: Do not score here if the S merely asks for information or gives information, nor if he merely commends.

52. ENCOURAGES OR NOTES NEED FOR QUICKNESS OR PROMPTNESS

General Definition: Score here if the S encourages or notes the need for quick decision or action, communicates the need for promptness, or in some way specifically opposes delay.

Rule a: Do not score a response here if it has been scored in "Indicates Time Priorities," unless the response also contains other mention of the need for speed; i.e., unless the response communicates something other than mere time priorities.

53. SETS A DEADLINE

General Definition: Score here any response in which the S specifically plans to set or actually sets a deadline for work to be done, meetings to be held, or things to be accomplished by others. This deadline must be definite, but can be stated in general terms (day, week, month).

Rule a: Do not score here if the S merely sets a date (for a meeting, etc.). To be scored here, the response must contain mention that the work to be done, thing to be accomplished, etc. must be done by a particular time.

54. SETS UP CHECKS ON OTHERS

General Definition: Score here if the S explicitly checks or plans to check on the work he assigns to subordinates.

Examples of this would be:

Asking to see copies of letters or memos he has someone write.

Asking for reports of progress.

Asking for results of actions he assigns.

Asking to be told whether an action has been completed.

55. SETS UP CHECKS ON HIMSELF

General Definition: Score here if the S explicitly sets up a check on himself on a task. He may do this by having his secretary or some other subordinate remind him of something or check up on something he has done.

Rule a: Do not score here if the S merely notes something on his calendar or if he merely asks his secretary to note something on his calendar.

Rule b: Score here if the S has his secretary return an item to him for him to work on at a specified time. ("Recall to me in a week.")

Rule c: Score here (for each item mentioned) if the S writes a separate page of notes to himself about things to check on.

Rule d: Do not score here the setting up of a meeting agenda.

56. CONCERN WITH PROPER CHANNELS

General Definition: Score here if the S shows an awareness of and/or a concern for the following of proper channels and/or a desire to follow proper channels (e.g., "This is not supposed to come to me," "Have the proper channels been followed?" "Mr. X should have gone to Jay with this problem," "Don't want to go behind his back," "Don't want to reply [to subordinate] over Herb.").

Rule a: Do not score here if the S merely delegates a job to a subordinate and says he is doing it because the problem should be handled by that subordinate.

Rule b: If a response is scored here, do not double-score it in "Awareness of Poor Work."

Rule c: Score here if the S sends information or a problem through his immediate superior (through Veep to Apex: e.g., "I think Mr. Apex should be informed about this.") or if he approaches the subordinate of a peer through the peer. (The immediate superior or peer is not to be involved in the problem or action.)

Rule d: Score here if the S refers a problem from a second-line subordinate back to that subordinate's supervisor or tells him to check with supervisor, even if the S does not mention channels as a reason for this action.

57. RESPONDS WITH SPECIFICITY

General Definition: Score here if the S responds to an item with specificity and detail rather than only generally. To be scored here, a response must contain a series of details that the S himself has done or plans to do or that the S is instructing others to do or that the S is suggesting others do. ("Discuss this matter with Veep tomorrow" or "Tell Jay to write declining letter to X" would not be scored here. "Discuss with Veep and point out X,Y,Z" or "Have Jay tell X the following: A,B,C," would be scored here.) Score here if the S comments on a specific detail: e.g., suggesting a date or time change.

Rule a: Do not score here if the details merely involve the S's own time schedule.

Rule b: Score here if the S gives specific instructions to a subordinate on how to handle a problem or asks for specific information on a problem ("Find out who interviewed Mr. X, where the reports of the interview are, and why they rejected him for a job.").

Rule c: Score here if the S makes specific comments on a point or points brought up in a memo.

Rule d: Score here if the S gives specific alternatives that may be used in the handling of a problem.

Rule e: The mere numbering of statements by the S in writing a memo is not sufficient reason for scoring here. The contents of the memo must be specific.

58. ITEM NOT ATTEMPTED

General Definition: Score here for any item on which the S has made no response of any kind and, as far as can be determined, did not even study. This includes items that have not been completed for lack of time, items left blank on the RFA (on which no response of any kind is apparent), and items missing from the completed in-basket.

Rule a: Any items missing from the completed in-basket should be scored here and noted by number on the front page of the score sheet.

Rule b: Do not score here if the S says on RFA, "not pressing," "do later," etc. There will be no scores on the item in this case. ("Delays" is not scored unless noted on the item itself.) If items are all the last ones of the in-basket and the RFA is either blank or contains the words "no time," it may be assumed that these items were not attempted and a score is thus entered here. If such items are scattered throughout the in-basket, judgment must be made as to whether or not the S read them.

NONITEM RESPONSES

At the bottom of the score sheet, one row should be reserved for scoring all responses that are not related to any in-basket item or group of items. This does not include anything written only on the RFA form. All calendar entries are scored here.

All such nonitem responses are to be lumped together as one item and scored in all stylistic categories that apply to it.

Following are some general explanations of the courses of action that may be scored:

Sets up staff meeting: Score here if the S writes a separate (from any item) note setting up a meeting with his staff or if he notes subjects (that do not relate to any item) to be discussed at a staff meeting. Do not score here if the only references to a staff meeting are notes to discuss with staff on items themselves.

Sets up meetings with individual staff members: Score here if the S writes a separate (from any item) note setting up individual meetings with staff members or if he notes subjects (that do not relate to any item) to be discussed with individuals (general operation of their departments, etc.). Do not score here if the S sets up meetings with individual subordinates only to discuss specific items of an in-basket.

Fabrication: Score here if the S makes up the results of his action or of other things (e.g., a 2-way conversation: "I called Herb and he said his wife was better...he thanked me for the flowers we sent.").

General instructions to secretary on handling of in-basket: Score here any instructions the S gives to his secretary on how to handle the in-basket he has left for her (e.g., telling her to go through and type all memos, refer to proper places, or work on rush items first).

Calendar entries: Score here the number of entries the S makes on his calendar. Count only words as entries; do not count X, √, or lines. If, for example, the S merely draws a line through 7 days on his calendar (to indicate a 7-day meeting, etc.), score this as only one entry; if, however, he writes 7 separate entries of the same thing, score as 7.

SAMPLE SCORE SHEETS

Item No.	A	B	C	D	E	F	G	H	I	J	
2											
4											
6											
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12											
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Action A
Action B
Action C
Action D
Action E
Action F
Action G
Action H
Action I
Action J
Unusual Action

57

Even IN-BASKET_____ SUBJECT NO._____ SCORER_____ DATE_____

Item No. / Estimated No. of Words	1 Uses Abbreviations	2 No. of Subordinates Involved	3 No. of Peers Involved	4 No. of Superiors Involved	5 No. of Outsiders Involved	6 Conceptual Analysis Program or Phys. Values	7 Human Values--Employee Relat. Aware of Superiors	8 Eval. & Develop. of Staff	9 10 Informality to Subordinates Aware of Poor Work	11 Informality to Peers	12 Courtesy to Superiors	13 Courtesy to Subordinates	14 Courtesy to Peers	15 Discusses with Outsiders Courtesy to Superiors	16 Discusses with Subordinates	17 Discusses with Peers	18 Requires Further Information Discusses with Superiors	19 Asks for Info from Outsiders	20 Asks for Information from Subordinates	21 Asks for Information from Peers	22 23 24 25 26
2																					
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Even IN-BASKET____ SUBJECT NO.____ SCORER_____ DATE_____

Item No.	27 Asks Info--Sups.	28 Gives Info to Superiors	29 Gives Suggestions to Superiors	30 Gives Directions to Superiors	31 Explains Actions to Subords.	32 Explains Actions to Peers	33 Communicates by Writing	34 Delays or Postpones Face-to-Face	35 Procedural Decision	36 Concluding Decision	37 Makes Plans Only	38 Takes Leading Action	39 Takes Terminal Action	40 Schedules Work--Specific Day	41 Schedules Work--Specific Day	42 Indicates Time Priorities	43 Refers to Peers	44 Follows Lead by Superiors	45 Follows Lead by Subordinates	46 Follows Lead by Peers	47 Uses Pre-Established Structure	48 Initiates New Structure	49 Encourages Quickness	50 Sets a Deadline	51 Sets up Deadline	52 Sets up Checks on Others	53 Concern with Proper Channels	54 Responds with Specificity	55 Item Not Attempted	56	57	58
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Even IN-BASKET_____ SUBJECT NO._____ SCORER_____ DATE_____

RATINGS

Encircle the number that best describes the Subject's performance.

1. To what extent did the Subject show in his own behavior and/or encourage in others <u>original, imaginative, innovative, and flexible</u> performance?

Showed or encouraged innovation	9	8	7	6	5	4	3	2	1	0	Did not show or encourage innovation

2. In his own work, in supervising subordinates, and/or in evaluating the work of others, to what extent did the Subject show concern about the <u>quality of end products of work</u>?

High concern about quality of end products	9	8	7	6	5	4	3	2	1	0	Low concern about quality of end products

3. In his own work, in supervising subordinates, and/or in evaluating the work of others, to what extent did the Subject emphasize the importance of the <u>details</u> of the work process?

Emphasized details	9	8	7	6	5	4	3	2	1	0	Did not emphasize details

4. In his own work, in supervising subordinates, and/or in evaluating the work of others, to what extent did the Subject emphasize the importance of <u>strictly following rules, regulations, and standard procedures</u>?

Emphasized rules and regulations	9	8	7	6	5	4	3	2	1	0	Did not emphasize rules and regulations

5. How well did the Subject perform as the Chief of Field Services?

Extremely well	9	8	7	6	5	4	3	2	1	0	Extremely poorly

6. How pleased do you think Apex and Veep would be with the Subject's performance?

Extremely pleased	9	8	7	6	5	4	3	2	1	0	Extremely displeased

Even IN-BASKET_____ SUBJECT NO._____ SCORER_____ DATE_____

OVER

RATINGS (continued)

Encircle the number that best describes the Subject and/or his behavior.

7.	Compulsive	9	8	7	6	5	4	3	2	1	0	Noncompulsive
8.	Flexible	9	8	7	6	5	4	3	2	1	0	Rigid
9.	Global concerns	9	8	7	6	5	4	3	2	1	0	Specific concerns
10.	Ordinary	9	8	7	6	5	4	3	2	1	0	Creative
11.	Authoritarian	9	8	7	6	5	4	3	2	1	0	Democratic
12.	Careful	9	8	7	6	5	4	3	2	1	0	Careless
13.	Satisfied	9	8	7	6	5	4	3	2	1	0	Disgruntled
14.	Complaisant	9	8	7	6	5	4	3	2	1	0	Rebellious

Even IN-BASKET_____ SUBJECT NO._____ SCORER_____

COURSES OF ACTION

(No courses of action are listed for those items that were used only to communicate experimental conditions.)

CDC-B-ACT-2

2. Memo from Staffer re participation of Union in Health Benefit Training
Lead: peer (take steps toward having someone attend--A, B)

A. Tell Capitola to send Union to Meeting

B. Tell Capitola to send someone, not necessarily Union

C. Suggest that Capitola send someone, but leave final decision to him

D. Inform Staffer of action

E. Discuss with Capitola

F. Comment on value, need, or importance of training

G. Ask other District Managers about program and/or discuss with them or check to be sure they are sending someone

H. Involve Veep

I. Comment critically on Capitola's attitude

J. Question or comment on method of choosing people for this kind of assignment

K. Suggest that Union (or other representative) need not go--can be filled in by others

CDC-B-ACT-3,6

3. Loupe's request for purchase of data on Delta-Y

Lead: subordinate (approve expenditure--F)

A. Refer to Capitola with instructions on handling (speed, method, or possible decision)

B. Refer to Capitola with no instructions

C. Instruct Loupe to send such requests to Capitola in the future

D. Discuss with Capitola his workload and/or problem of getting things done

E. Discuss with Capitola, subject not specified

F. OK expenditure

G. Take definite steps to be sure Capitola does not see Loupe's small memo (destroy, file, detach from other memo, etc.)

H. Discuss with Loupe

I. Consider general problems of proper channeling or discuss channeling with other Regional Managers

J. Consider possibilities of making this kind of material more readily available in the future

K. Get authorization for expenditure

6. Sellers's letter to Rabb re services of CDC

No lead

A. Plan to use in discussion with Chavez

B. Give instructions to Chavez (other than C)

C. Plan or initiate follow-up to see whether Chavez contacted, or was contacted by, Rabb

D. Raise questions regarding who should handle this type of communication ("FSD should write letter," etc.)

E. Involve Sellers

F. File (with no other action) or specifically indicate no action necessary

G. Ask for more information or comment on one or more of the programs or services mentioned by Sellers in letter

H. Ask Chavez for explanation of how he handles this type of problem

I. Question why copy of letter from Rabb was not sent by Apex to Field Services Division

J. Inform other Regional Managers

CDC-B-ACT-7,8

7. Bee's request for comments on his immediate action plan

Lead: subordinate (give suggestions or make plans to do so within ten days--include asking others for ideas)

A. Discuss with Regional Managers

B. Ask Regional Managers to give suggestions

C. Refer to Capitola to give suggestions

D. Ask for more information on the subject or for background on Task Force

E. Give specific suggestions

F. Indicate approval--as is

G. Arrange to attend Task Force meeting

H. Discuss with Bee (alone or with staff and other than G)

I. Postpone until return

J. Question why no one from P. I. A. is on Task Force Committee

K. Ask aid of other Division Chiefs

8. Bay's memo re overlapping of duties with Bureau of Local Liaison

Lead: subordinate (discuss with Bay or Regional Managers)

A. Discuss with Regional Managers

B. Discuss with Bay (alone)

C. Discuss with Hiroshima (alone)

D. Discuss with Bay, Middleman, and Hiroshima jointly (or at least involve Hiroshima in setting up conference)

E. Discuss with Bay and Middleman (without involving Hiroshima)

F. Ask Bay and/or other Regional Managers for specific examples of overlap

G. Ask for further information on the two different sections (definitions of their functions, etc.)

H. Ask aid of other Division Chiefs

I. Consult Veep

J. Suggest reorganization of Divisions to prevent overlap

CDC-B-ACT-9,10

9. Bay's request for support of educational program for export field

Lead: subordinate (discuss with or ask information of some member of Division of Economic Development--not just discuss with Bay)

A. Discuss with Regional Managers or ask for their comments

B. Discuss with Sellers or ask for his suggestions

C. Discuss with Bay

D. Discuss with Giant (not necessarily alone)

E. Ask Bay and/or Giant for further information

F. Agree in general to need for such a program or comment that it is a "good idea"

G. Discuss with Solon without involving Sellers

H. Suggest other aids to businesses entering export trade, such as conferences, workshops, etc.

I. Question why Solon's support is necessary--can't Field Service go ahead on its own, etc.

J. Question or comment on Bay's sending two separate memos on same day

K. Discuss with or ask aid of other Divisions (include discussion at Administrative Staff Meeting)

10. Sellers's memo requesting FS representative be required to work on new publications

Lead: peer (designate representative or attempt to determine who is qualified or willing--A, B, D)

A. Discuss with Regional Managers

B. Ask Regional Managers for recommendations

C. Comment on or question time to be spent on reports--or whether FSD should participate

D. Discuss with and/or ask recommendations of Capitola

E. Ask Sellers for more detailed information

F. Note Solon's position (export and Foreign Trade Topic) and/or relate to Item 9. (For example, suggest Bay or Giant work on that topic.)

G. Assign individual Regional Managers or other subordinates to the various topics

H. Discuss with Sellers

I. Involve Veep

J. Refuse to participate

CDC-B-ACT-11,12

11. Invitation to join Sacramento Chapter of Statewide Conference

Lead: subordinate (join)

A. Fill out form or give other indication that he is joining (letter of acceptance, etc.)

B. Respond to Capitola (note or phone call, thanking and/or acknowledging receipt of letter)

C. Plan to join later

D. Await folder before deciding

E. Note that he cannot attend April 12 meeting

F. Discuss with Capitola

G. Ignore specifically

H. Ask for more information about group (other than D) or discuss with other members

I. Ask whether group is merely social or whether it has professional value, or note that such groups are often lacking in professional value

J. Note that Bay and Chavez are not members

12. Announcement of Semi-monthly Staff meetings

Lead: superior (mark calendar or plan to attend)

A. Note, note on calendar, or give other indication that he plans to attend

B. Send copy of memo to Regional Managers or remind them to attend

C. Ask for information on or materials for meeting (agenda, etc.)

D. Have secretary remind him of meeting

E. Make own notes for meeting or set up file of materials for discussion

F. Notify Capitola or ask for his ideas

G. Submit recommendations on items to be discussed at meeting

H. Acknowledge receipt to Pryor

I. Ask Regional Managers to submit material that they think should be discussed--or plan to get ideas from them in discussion

CDC-B-ACT-15,18

15. Capitola's request for advice re questionnaire from bonding company

Lead: subordinate (give advice or get more information)

A. Affirm need to give company the facts, to tell the truth, etc.

B. Suggest that Capitola could include letter or note explaining his point of view (or phone)

C. Suggest that Capitola is not obligated to "fill in blanks," can write letter instead (B and C mutually exclusive)

D. Ask for, or suggest that Capitola ask for, aid from Personnel Dept. (Trainer or Staffer)

E. Refer to Trainer or Personnel Dept. to handle

F. Refer back to Capitola without advice on how to handle

G. Request more information on circumstances and/or Spooner

H. Make critical comments about Capitola

I. Discuss with Capitola

J. Suggest that Spooner's choice of job (payroll section) sounds suspicious

K. "Cover" for Spooner--specifically indicate that they should not inform bonding company of his past

18. Capitola's suggestion that Department Operation Notice be written detailing procedures for handling requests for service

Lead: subordinate (take steps toward adopting)

A. Discuss with Regional Managers

B. Discuss with Capitola or ask for more background information

C. Ask other Regional Managers for their opinion or have Capitola do so

D. Agree with idea in general

E. Note possible effect on or involvement of other Divisions

F. Discuss with and/or get opinion of members of other Divisions

G. Give approval--tell Capitola to go ahead and work up

H. Question whether advantages of system would make up for increased paper work

I. Discuss with or consult Veep

J. Suggest that procedure is too rigid, does not leave enough leeway for differing circumstances

K. Refer to Veep

CDC-B-ACT-19,20

19. Request for a suggested reply to letter re racial discrimination

Lead: peer (give thoughts on how letter should be answered to Staffer)

A. Discuss with District Managers

B. Ask for more information (specific: who interviewed, reports, etc.)

C. Refer to subordinate to handle (with or without suggestions)

D. Give suggestions that indicate no further investigation will take place ("Tell him all applicants were selected on the basis of most qualified," "We abide by the merit system," etc.)

E. Plan to interview Mr. Grover again or discuss with him

F. Discuss with (alone or with others) and/or ask aid of Veep or suggest that Staffer do so

G. Suggest to Staffer what information she should try to get

H. Suggest that Grover be informed that investigation will be made

I. Discuss with Staffer (alone or with others)

J. Write letter for governor's signature

K. Ask for information (unspecified)

L. Note possible error and promise to do better next time, but take no action to correct at this time

20. Veep's request for ideas on evaluation of need for a California Atomic Energy and Space Commission

Lead: superior (submit ideas)

A. Give general suggestions (essentially valueless)

B. Give specific suggestions

C. Explain to Veep that he will be out of town and cannot have suggestions ready

D. Refer to Capitola to handle

E. Refer to Bay or Chavez to handle

F. Discuss with one or more Regional Managers or ask for their suggestions

G. Discuss with Veep

H. Question whether Division Chiefs are in best position to decide how to make evaluations (There are those who specialize in this activity)

I. Suggest survey of Department of Commerce to see whether such a program could be handled by it

J. Question Veep's method of getting ideas and opinions during trip to Washington

K. Ask aid of Brinkley or plan to get ideas

CDC-B-ACT-21,22

21. Giant's probationary report with note from Veep

No lead

A. Discuss with Bay

B. Discuss with Giant

C. Question Bay's attitude and/or response on report

D. Note confidential nature (by marking thus, putting in confidential file, or putting back in envelope)

E. Forward to Administrative Services or Personnel

F. File (with no other action) or indicate that no action is necessary

G. Plan to review later

H. Ask for other information on Bay, Giant, or other staff members

I. Acknowledge receipt (to Veep)

J. Write to Bay and/or Giant

22. Suggestion from Chavez that Operation Notices be revised at staff meeting

Lead: subordinate (agree)

A. Discuss idea with District Managers or ask for their comments

B. Discuss with Chavez

C. Note that it would not be the best use of staff meeting

D. Note that other Divisions are involved

E. Agree to suggestion

F. Involve Veep and/or other Division Chiefs

G. Plan to review Operation Notices

H. Ignore specifically (file, no action planned, etc.)

I. Question or note Chavez's dependence on rules, guides, etc.

J. Suggest appointing committee to work on revision

K. Ask Chavez for specific examples, for sample of changes, etc.

CDC-B-ACT-23,24

23. Smith's suggestion of a joint N.Y.-California project to reduce competition for scientists

Lead: subordinate (agree to idea--not just discuss further)

A. Discuss with Regional Managers

B. Ask other Regional Managers for opinion

C. Refer to Capitola

D. Ask other Division Chiefs for opinion and/or discuss with them (include discussion at Administrative Staff Meeting)

E. Answer Smith

F. Give approval

G. Suggest memo should have been sent to Capitola

H. Discuss with and/or ask Veep for his opinion

I. Discuss with and/or ask Capitola for his opinion

J. Question whether the CDC should be involved in this kind of activity (interfering in private business, using too much time and manpower, etc.)

24. Assignment by Veep to a three-day training workshop

Lead: superior

A. Agree to attend

B. Answer Veep

C. Discuss with Veep

D. Note conflict with Administrative Staff Meeting (score here even if noted on 12)

E. Have someone else represent him at staff meeting

F. Ask for more information on the workshop (such as time or place)

G. Ask to be excused from attendance or decline to go or suggest that someone else be sent in his place

H. Offer to submit report

I. Ask for information on "decision theory"

J. Note that a three-day absence so soon after taking over a new job is undesirable or could present problems

CDC-B-ACT-25,26

25. Sellers's memo expressing dissatisfaction with rotation program

Lead: peer (discuss with him and/or give his opinion about the program)

A. Discuss with Sellers

B. Comment that he favors rotation in general

C. Note confidential nature (by notation or putting back in envelope)

D. Suggest that problem be discussed at Administrative Staff Meeting

E. Ask for Steele's personnel file

F. Leave unopened specifically (or forward to Fields unopened)

G. Consult District Managers (one or more)

H. Note that problem could be due to conflict of personalities rather than to weaknesses in rotation program or that Sellers is considering only his own interests instead of program in general

I. Suggest or note that Sellers should be training Steele to do a proper job or ask what he is doing to train Steele

J. Recommend a study of the rotation program in general

K. Ask for background on rotation program

26. Notification from Capitola that Bee was arrested for drunk driving

No lead

A. Ask Capitola what corrective action he proposes

B. Ask Capitola what he did

C. Let Capitola handle decision

D. Ask, or have Capitola ask, for aid from Personnel (include discussion with Trainer)

E. Refer to Personnel or Administrative Services

F. Ask for information on Bee's side of story or information on his past behavior, and/or discuss with Bee

G. Suggest reprimand or disciplinary action

H. Discuss with Capitola

I. Ground Bee from State vehicles

J. Stand behind Bee (bail him out, support him, etc.)

K. Determine current status of problem or ask for complete information on situation

CDC-B-ACT-27,28

27. Manoogian's memo to Middleman with note from Capitola complaining about Bureau of Local Liaison

Lead: subordinate (take steps toward solution, talk with Hiroshima, investigate)

A. Discuss with District Managers

B. Discuss with Capitola

C. Ask for more information on problem

D. Discuss with Hiroshima

E. Note relationship to Item 8 (score here even if noted on Item 8)

F. Plan to bring up at Administrative Staff Meeting

G. Follow up to see that there are no public relation problems with the Billboard and Sign Industry people

H. Suggest more explicit definition of duties of each group

I. Comment on Manoogian's calm, levelheaded approach to problem as compared to Capitola's excited one

J. Suggest interdivisional committee to work on problems of this type: conflict between two Divisions

K. Discuss with Middleman (alone or with others)

28. Chavez's "panic button" memo re evaluation of Business Management Agent position

Lead: subordinate (do any work on problem--getting more information, discussing, etc.)

A. Discuss with District Managers or question whether they have similar problem

B. Discuss with Chavez

C. Ask for more specific information (facts, instances) or ask Chavez to give his recommendations

D. Request aid from Personnel or Administrative services (include discussing with)

E. Reassure without specific positive action

F. Suggest review of the two positions or of present classification plan

G. Comment on Chavez's reaction to problem (panic button)

H. Suggest working on problem with other Divisions since they are involved (or at least with Economic and Development Division) or discuss at Administrative Staff Meeting

I. Suggest interdivisional committee to work on problems of this type--those involving conflict between two Divisions

J. Suggest that Senior BDA and BDA be asked for opinion on how to solve problem

CDC-B-ACT-29,30

29. Staffer's request for recommendations re expansion of Management Development Program

Lead: peer (give recommendation or get opinion of others)

A. Discuss with Regional Managers

B. Ask Regional Managers for comments and/or opinions

C. Discuss with Staffer

D. Give general opinion

E. Relate to Item 25 (score here even if noted on Item 25)

F. Give specific recommendations

G. Suggest classes or seminars on management problems and techniques (or enlarged SPB program)

H. Suggest that lower (than Division Chiefs) level supervisors be asked for their opinions and ideas

I. Question whether Division Chiefs are qualified to give adequate recommendations on development of program

J. Suggest that experts on management training and development be consulted

K. Suggest discussion at Administrative Staff Meeting

30. Staffer's request for evaluation of two versions of memo on staff training

Lead: peer (give suggestions)

A. Discuss with Regional Managers

B. Ask Regional Managers for comments or opinion

C. Fill out preference form

D. Comment that he prefers B

E. Comment that he prefers A

F. Note that B is a more general statement of policy, with less emphasis on specific procedure and operating minutiae

G. Refer to subordinate to handle

H. In filling out form, does not sign name

I. Suggest that memos represent two basically different approaches

J. Discuss with Staffer or Trainer

K. Decline to do (because he is not experienced enough or feels that it is Staffer's job)

CDC-B-ACT-31

31. Nonitem responses

A. No calendar entries made

B. Calendar entries relating only to times specified in instructions (e.g., "today," "trip," etc.) and times that others have committed for him (e.g., B-12, B-24)

C. Calendar entries of one to three appointments made by the S (or reminders of deadlines, etc.)

D. Calendar entries of four or more appointments made by the S

E. Set up staff meeting of Regional Managers

F. Set up individual meeting with each Manager

G. Give general instructions to secretary on handling of in-basket

H. Appoint Capitola acting Manager during the S's absence

I. Inform Regional Managers of his absence and/or Capitola's taking over

J. Use fabrication in responding to two or more items

K. Set up meetings with each Division Chief

L. Write letter of greeting to staff